

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/911,109	07/23/2001	Tatsushi Nashida	450100-03355	4003

20999 7590 09/07/2004

FROMMER LAWRENCE & HAUG
745 FIFTH AVENUE- 10TH FL.
NEW YORK, NY 10151

EXAMINER

WOZNIAK, JAMES S

ART UNIT	PAPER NUMBER
----------	--------------

2655

DATE MAILED: 09/07/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/911,109

Applicant(s)

NASHIDA ET AL.

Examiner

James S. Wozniak

Art Unit

2655

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 July 2001.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-51 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-51 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 7/23/2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

DETAILED ACTION

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. **Claims 1-3, 6, 9, 11, 25-27, 30, 33, 35, and 49** are rejected under 35 U.S.C. 102(b) as being anticipated by Trower et al (*U.S. Patent: 5,983,190*).

With respect to **Claims 1, 25, and 49**, Trower discloses:

An assistant control means for generating a personified assistant and making said assistant appear on a screen of said display unit (*Fig. 2, Element 60*);

An output speech control means for determining speech required for said assistant to output said assistant's speech to the outside through said speech output unit after speech synthesis (*determining an appropriate response to a speech input and performing speech synthesis, Col. 23, Lines 36-60; and speakers, Col. 4, Lines 20-34*);

An input speech recognition means for recognizing user's voice as a speech inputted through said speech input unit (*recognition engine for recognizing a speech input, Col. 6, Line 62- Col. 7, Line 12, and Fig. 3, Element 118*);

An interaction management means for managing interaction between said assistant and said user according to said assistant's speech determined by said output speech control means and said user speech recognized by said input speech recognition means (*maintained list of available commands for interaction, Col. 27, Line 5- Col. 28, Line 29*); and

A command interpreting means for specifying a user's intention or specifying said inputted user command based on a content of interaction traced by said interaction management means (*spoken command recognition and maintained list of available commands for interaction, Col. 27, Line 5- Col. 28, Line 29*).

Trower also discloses a computer readable medium for storage of a program implementing the above method (*Col. 4, Lines 8-19*).

With respect to **Claims 2 and 26**, Trower recites:

Assistant control means determines an animation of said assistant based on a content of interaction managed by said interaction management means and/or an inputted user command specified by said command interpreting means (*playing an animation for a current command based upon a state resulting from a previous command, Col. 24, Lines 25-34, and a maintained list of available commands for interaction, Col. 27, Line 5- Col. 28, Line 29*).

With respect to **Claims 3 and 27**, Trower discloses:

Output speech control means determines an assistant's speech based on a content of interaction managed by said interaction management means and/or an inputted user command specified by said command interpreting means (*selection of an appropriate speech output in response to a user command, Col. 23, Lines 36-60, and a maintained list of available commands for interaction, Col. 27, Line 5- Col. 28, Line 29*).

With respect to **Claims 6 and 30**, Trower shows:

Communication means for connecting said system to a communication medium such as an external network or a telephone line (*Fig. 11, Element 454*), wherein said input speech recognition means recognizes audio data received via said communication medium (*server, linked to multiple clients, featuring a speech recognition engine, Fig. 3, Element 118, and Col. 6, Line 62- Col. 7, Line 12*).

With respect to **Claims 9 and 33**, Trower shows:

Personified assistant is placed in a room scattered with various kinds of objects including a link to an information resource (*Fig. 2, and Internet browser in a desktop space containing an animated character, Col. 4, Lines 54-67*).

With respect to **Claims 11 and 35**, Trower recites:

Upon the command interpreting means interpreting an inputted user command, said assistant control means makes said assistant appear on a screen of said display unit (*request for opening a character file, Col. 13, Lines 21-43*).

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Art Unit: 2655

4. Claims 4, 5, 12, 13, 15, 17, 19, 22-24, 28, 29, 36, 37, 39, 41, 43, and 46-48 are rejected under 35 U.S.C. 103(a) as being unpatentable over Trower et al in view of Houser et al (*U.S. Patent: 5,774,859*).

With respect to Claims 4 and 28, Trower teaches the speech command interface system and method utilizing an interactive animated character, as applied to Claims 1 and 25. Trower does not specifically suggest providing user guidance if a command recognition error occurs; however Houser recites:

Control means determines speech for leading a user's intention when said command interpreting means fails to specify said user's intention or said inputted user command (*prompting a user to select an intended channel upon the occurrence of a command recognition error, Col. 19, Lines 27-60*).

Trower and Houser are analogous art because they are from a similar field of endeavor in speech controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the means of prompting a user upon the occurrence of a command recognition error as taught by Houser with the speech command interface system and method utilizing an interactive animated character taught by Trower in order to recognize a user command even if the system is unable to determine a proper recognition result, thus improving command detection capability. Therefore, it would have been obvious to combine Houser with Trower for the benefit of improving command detection capability.

With respect to Claims 5 and 29, Trower teaches the speech command interface system and method utilizing an interactive animated character, as applied to Claims 1 and 25. Trower

Art Unit: 2655

does not teach the interpretation of a specific command for selecting a TV channel or recording a television program, however Houser discloses:

Command interpreting means also interprets a command for controlling a function of said external apparatus including selection of a broadcast program channel and/or recording/reproducing of said broadcast program (*Col. 30, Lines 26-42*).

Trower and Houser are analogous art because they are from a similar field of endeavor in speech controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the means of recognizing commands related to TV channel selection and program recording as taught by Houser with the speech command interface system and method utilizing an interactive animated character as taught by Trower to increase speech command system functionality and usability by further adding the ability to perform and simplify common television related tasks (*Houser, Col. 1, Line 59- Col. 2, Line 16*). Therefore, it would have been obvious to combine Houser with Trower for the benefit of increasing speech command system functionality by adding the ability to perform common television related tasks.

With respect to **Claims 12 and 36**, Houser further discloses:

In response to said command interpreting means interpreting an inputted user command as a channel selection command, control means shows a selected broadcasting program in a display window (*channel information and selection commands, Col. 25, Line 38- Col. 26, Line 6*).

With respect to **Claims 13 and 37**, Trower in view of Houser teaches the speech command interface system and method utilizing an interactive animated character and featuring speech-initiated TV channel selection menus, as applied to Claims 12 and 36. Trower in view of

Houser does not suggest that the menus are ring shaped and placed around the animated character, however, it would have been obvious matter of design choice to utilize a ring shaped menu for channel selection, since the applicant has not disclosed that utilizing such a menu solves any stated problem or provides for any particular functional improvement from other types of menu based systems such as the matrix-based menu system as shown by Houser in Fig. 11. Therefore it would have been obvious to utilize a ring shaped menu for speech-enabled channel selection to provide an aesthetically pleasing user interface.

With respect to **Claims 15 and 39**, Trower in view of Houser teaches the speech command interface system and method utilizing an interactive animated character and featuring speech-initiated TV channel selection menus containing program information, as applied to **Claims 12 and 36**. Trower in view of Houser does not suggest that the menus containing program information are shown in a binder on a display, however, it would have been obvious matter of design choice to utilize a menu shown in a binder for the display of program information, since the applicant has not disclosed that utilizing such a binder solves any stated problem or provides for any particular functional improvement from other types of menu based systems such as the matrix-based menu system as shown by Houser in Fig. 11. Therefore it would have been obvious to utilize a program information menu shown in a binder for speech-enabled program selection to provide an aesthetically pleasing user interface.

With respect to **Claims 17 and 41**, Houser additionally recites:

In response to said command interpreting means interpreting an inputted user command as a channel change command, said assistant control means makes said assistant appear with a

Art Unit: 2655

list of changeable broadcasting programs arranged in a matrix shape (*viewing guide menu command used for channel selection, Col. 25, Line 33- Col. 26, Line 6, and Fig. 11*).

With respect to **Claims 19 and 43**, Houser further discloses:

EPG distributed as part of data broadcast is applied for generating a list of broadcasting programs in a matrix form (*Col. 25, Lines 33-64*).

With respect to **Claims 22 and 46**, Trower teaches the speech command interface system and method utilizing an interactive animated character, as applied to Claims 1 and 25. Trower does not specifically suggest client authorization means, however, Houser discloses:

Communication means for connecting said system to a communication medium such as an external network or a telephone line, and a certifying means for certifying an information terminal connected to said system via said communication medium (*Fig. 2A, and EPG access authorization, Col. 25, Lines 33-37*).

Trower and Houser are analogous art because they are from a similar field of endeavor in speech controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the user authorization means taught by Houser with the speech command interface system and method utilizing an interactive animated character as taught by Trower to prevent unauthorized users from accessing customer services provided by a speech enabled command system. Therefore, it would have been obvious to combine Houser with Trower for the benefit of providing only authorized users with speech command system access.

With respect to **Claims 23, 24, 47, and 48**, Houser discloses the viewing guide that displays program information as applied to Claims 17 and 41 and shown in Fig. 11.

5. **Claims 7, 8, 20, 31, 32, and 44** are rejected under 35 U.S.C. 103(a) as being unpatentable over Trower et al in view of Lumelsky et al (*U.S. Patent: 6,081,780*).

With respect to **Claims 7 and 31**, Trower teaches the speech command interface system and method utilizing an interactive animated character, as applied to Claims 1 and 25. Trower also teaches the ability to access email utilizing a speech command (*Col. 28, Lines 20-29, and network connection, Fig. 11, Element 454*), but does not specifically suggest that the animated character recites the content of a received email using a speech output means. However, Lumelsky discloses:

Communication means for connecting said system to a communication medium such as an external network and/or a telephone line, and a mail exchange means for making an exchange of electronic mails via said communication medium, wherein said output speech control means determines said assistant's speech based on a content of an incoming mail (*user request for speech synthesis of e-mails, Col. 20, Line 65- Col. 21, Line 16*).

Trower and Lumelsky are analogous art because they are from a similar field of endeavor in speech-controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the ability to synthesize a received email as taught by Lumelsky with the speech command interface system and method utilizing an interactive animated character taught by Trower to provide an alternate means of conveniently accessing email contents when a user does not have a continual view of a display. Therefore, it would have been obvious to combine Lumelsky with Trower for the benefit of providing an alternate means of conveniently accessing email contents.

With respect to **Claims 8 and 32**, Lumelsky further discloses:

Interaction management means manages an input speech of a user as a message bound for another user, and said output speech control means determines said assistant's speech based on said message (*playback of a voice mail attached to an email in response to a speech command, Col. 20, Line 58- Col. 21, Line 16*).

With respect to **Claims 20 and 44**, Trower in view of Lumelsky teaches the speech command interface system and method utilizing an interactive animated character capable of accessing and synthesizing e-mail messages, as applied to Claims 7 and 31. Trower in view of Lumelsky does not specifically suggest displaying a new or incoming mail icon in response to the acceptance of mail; however, the examiner takes official notice that it is well known in the art to implement a visual means of representing a new e-mail so that a user can recognize new and unread e-mails. Therefore it would have been obvious to implement a visual means of representing a new e-mail in the speech command system capable of accessing and synthesizing electronic mail messages taught by Trower in view of Lumelsky, so that a user can easily recognize new and unread e-mails.

6. **Claims 10 and 34** are rejected under 35 U.S.C. 103(a) as being unpatentable over Trower et al in view of Crow et al (*U.S. Patent: 6,262,724*).

With respect to **Claims 10 and 34**, Trower teaches the speech command interface system and method utilizing an interactive animated character located in a desktop space, as applied to Claims 9 and 33. Trower does not teach the display of a link containing musical content in the display space, however Crow discloses:

Assistant control means places said personified assistant in a room scattered with various kinds of objects including a link to an information resource, and in response to an interest of said user in a recording medium including a link to a music content placed in said room, said command interpreting means interprets an inputted user command as a command for playing back said music content (*media files capable of being located on a desktop, Col. 9, Lines 52-56, and speech control of a media player, Col. 8, Line 55- Col. 9, Line 25*).

Trower and Crow are analogous art because they are from a similar field of endeavor in speech-controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the speech enabled media player taught by Crow with the speech command interface system and method utilizing an interactive animated character located in a desktop space taught by Trower in order to increase speech command system functionality and usability by further adding the ability to play audio files using a speech-controlled media player. Therefore, it would have been obvious to combine Crow with Trower for the benefit of increasing speech command system and method usability.

7. **Claims 14, 16, 18, 38, 40, and 42** are rejected under 35 U.S.C. 103(a) as being unpatentable over Trower et al in view of Houser et al, and further in view of Florin et al (*U.S. Patent: 5,583,560*).

With respect to **Claims 14, 16, 18, 38, 40, and 42**, Trower in view of Houser teaches the speech command interface system and method utilizing an interactive animated character and featuring speech-initiated TV channel selection menus containing program information, as applied to Claims 13, 15, 17, 37, 39, and 41. Trower in view of Houser does not teach the ability

to zoom in on a selected channel, however Florin discloses a picture-in-picture window with the ability to jump to (zoom in on) the channel displayed in the window (*Col. 17, Lines 41-59, voice command means, Col. 12, Lines 59-67, and Figs. 20 and 21*).

Trower, Houser, and Florin are analogous art because they are from a similar field of endeavor in speech controlled systems. Thus, it would have been obvious to a person of ordinary skill in the art, at the time of invention, to combine the means of zooming in on a channel feature in a picture-in-picture window as taught by Florin with the speech command interface system and method utilizing an interactive animated character and featuring speech-initiated TV channel selection menus containing program information as taught by Trower in view of Houser to provide a convenient speech-enabled means of previewing and accessing a selected television channel, thus increasing system functionality. Therefore it would have been obvious to combine Florin with Trower in view of Houser for the benefit of increasing speech command system functionality by providing a speech-enabled means of previewing and accessing a selected television channel.

8. **Claims 21, 45, 50, and 51** are rejected under 35 U.S.C. 103(a) as being unpatentable over Trower et al.

With respect to **Claims 21 and 45**, Trower teaches the speech command interface system and method utilizing an interactive animated character, as applied to Claims 1 and 25. Trower does not specifically suggest Kanji to Kana text conversion, however the examiner takes official notice that it is well known in the art to perform Kanji to Kana text conversion in order to simplify Japanese text for a user that may not be familiar with the complex Kanji character set.

Art Unit: 2655

Therefore, it obvious to implement to provide for kanji-to-kana conversion of displayed text in order to simplify Japanese text for a user unfamiliar with the complex Kanji character set.

Claims 50 and 51 contain subject matter similar to Claims 21 and 45, and thus, are rejected for the same reasons.

Conclusion

9. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- Tomitsuka et al (*U.S. Patent: 5,566,271*)- teaches a speech command dialog system and method utilizing an animated character.
- Kilmer et al (*U.S. Patent: 5,874,954*)- discloses a circular menu interface for use with a television display.
- Ozawa et al (*U.S. Patent: 6,538,666*)- teaches a video game featuring speech recognition means for communicating with an animated character.


10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to James S. Wozniak whose telephone number is (703) 305-8669 and email is James.Wozniak@uspto.gov. The examiner can normally be reached on Mondays-Fridays, 8:30-4:30.

Art Unit: 2655

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Doris To can be reached at (703) 305-4827. The fax/phone number for the Technology Center 2600 where this application is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the technology center receptionist whose telephone number is (703) 306-0377.

James S. Wozniak
7/29/2004



DORIS H. TO
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2600